



## APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE  
DEPARTMENT OF ARCHIVES AND HISTORY  
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date July 7, 1976	1. Agency Address Georgia Department of Human Resources Office of the Commissioner Planning and Budget Unit - Room 506-S 47 Trinity Avenue, S.W. Atlanta, Georgia 30334	Application Number <b>76-236</b>	Date Received JUL 12 1976
Application Number DHR-84		Date Completed JUL 16 1976	
2. Person to Contact Mrs. Gwen Cook		Working Title Fiscal Analyst	Telephone Number 656-4343
3. Action Requested a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest _____ Latest _____ Began October, 1975	5. Records Series Title (followed by title used in office; if different) BUDGET (DHR FEDERAL FUNDS) FILES		
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? The Department of Human Resources, headed by the Commissioner, is responsible for planning, organizing, directing, coordinating and controlling the delivery of services to the residents of Georgia. Included are diagnosis and treatment of mental disorders; control of physical health programs; administration of public assistance programs, Federal food programs, and medical assistance programs; administration of the delivery systems for services directed to indigents, children and consumer information; administration of programs which enable the non-productive members of society (blind, physically and mentally handicapped) to function as productive members of society; administration of programs for the elderly; evaluation of programs of the Department and suggesting improvements in these programs; and supportive services. The Planning and Budget Unit has the responsibility for providing planning and technical assistance to managers and planners for meeting expectations of the Federally funded com- pre-			
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: preparing and submitting to DHEW Federal operating budgets and expenditure projection reports for the various titles of the Social Security Act.  Included are: form SRS-OFM-65 (Quarterly Estimate of Expenditures), which shows estimated expenditures for operation of the State's approved plans for the quarter for maintenance assistance programs such as old age assistance, aid to the blind, aid to the permanently and totally disabled, aid to families with dependent children, emergency assistance (AFDC), and State and local training programs; social services for State plans approved under Titles I, IV-A, VI, X, XIV, or XVI of the Social Security Act; Medical Assistance Program payments and cost of State and local administration and training; Child Support Enforcement Program and Work Incentive Program. Forms SRS-OA-25 and SRS-OA-25A (State Agency Quarterly Statement of Financial Plan) shows expenditure totals and Federal shares for present and following fiscal years. Form SRS-OA-25.5 (State Agency Program Expenditure File is arranged: alphabetically by program; thereunder, by budget unit.			
8. Monthly Reference Rate in constant use 35-40 One to six months old 35-40; Seven to twelve months old 35-40; Thirteen to twenty-four months old _____; twenty-five months and older _____?			
9. Annual Rate of Accumulation of Records Letter-size drawers 25 - 3; Legal-size drawers _____; Shelves _____; Other (specify) _____			

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
	X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

#### 11. Retention Requirements

The following requires the series to be kept:

- |                          |              |                                   |                |
|--------------------------|--------------|-----------------------------------|----------------|
| a. State Law             | _____ years. | d. Audit period                   | _____ years.   |
| b. Statute of limitation | _____ years. | e. Administrative need            | 5 _____ years. |
| c. Federal law           | _____ years. | f. Federal retention instructions | _____ years.   |

Attach copy or excerpt of laws or regulations. Explain administrative need.

Guide to Record Retention Requirements regulation 6.4(attached) specifies that records be retained "3 years from date of submission of annual or final expenditure report" or until resolution of all audit findings." The five-year retention recommendation is in conformance with the retention period of other DHR financial records.

#### 12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

- ☐ Calendar Year; ☒ Fiscal Year; ☐ Other \_\_\_\_\_ then,
- ☒ Hold in the current files area \_\_\_\_\_ month(s) \_\_\_\_\_ year(s); then
- ☐ Transfer to local holding area; hold \_\_\_\_\_ year(s); then
- ☒ Transfer to State Records Center; hold \_\_\_\_\_ year(s); then
- ☒ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify) \_\_\_\_\_

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>David A. Wingfield</i>	7/7/76	<i>Elizabeth M. Crank</i>	7/7/76
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Records Committee (Signature)	Date
		<i>[Signature]</i>	7-14-76
		Secretary of State/Designee	7-13-76
		Attorney General/Designee	7-16-76

BUDGET (DHR FEDERAL FUNDS) FILES

6. hensive health planning programs, and to support the Management Team in Department-wide planning projects. This Unit also provides a central authority in the Department to uniformly develop, interpret, manage, and provide assistance in the administration of the Department budget; provides information and maintains a listing of fiscal resources; and acts in the capacity of liaison with the Regional and National offices of HEW on Federal fund projections.
7. Projection Report), which shows amounts, in thousands, for total Medical Assistance Payments Computable and not Computable for Federal funding and total Medical Assistance Payments by type of service. A narrative report for the quarter explains the socio-economic outlook and assumptions used in developing the financial plan for given fiscal years.